01-07-02   A

UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	MIT-132 (5473/145)
	First Named Inventor	Chen et al.
	Title	VACUUM ELECTRON DEVICE WITH PHOTONIC BANDGAP STRUCTURE AND METHOD OF USE THEREOF

APPLICATION ELEMENTS	ADDRESS TO: **Box Patent Application Commissioner for Patents Washington, D.C. 20231**

1. ☒ Fee Transmittal Form

2. ☐ Small Entity Status
   ☐ Applicant claims small entity status
   ☐ Status established in prior application and is still proper and desired

ACCOMPANYING APPLICATION PARTS

3. ☒ Specification and Drawings   [Total Pages 39]
   - Written Description - (22 pages)
   - Claims - (3 pages)
   - Abstract - (1 page)
   - Sheets of Drawings - (13 sheets)
       ☐ Formal
       ☒ Informal

8. ☐ 37 CFR 3.73(b) Statement (*when there is an assignee*)
   ☐ Power of Attorney

9. ☐ English Translation Document *(if applicable)*

4. ☒ Oath or Declaration   [Total Pages 4]
   a. ☒ Newly executed (original)
   b. ☐ Copy from a prior application (37 CFR 1.63(d))
       (for continuation/divisional with Box 17 completed)
       [Note Box 5 below]

10. ☐ Information Disclosure Statement (IDS)/PTO-1449
    ☐ Copies of IDS Citations

11. ☐ Preliminary Amendment
    ☐ Drawings [Total Sheets   ]

12. ☒ Return Receipt Postcard (*specifically itemized*)

5. ☐ Incorporation by Reference (usable if Box 4b is checked) The entire Disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

13. ☐ Certified Copy of Priority Document(s) (*if foreign priority claimed*)

14. ☐ Nonpublication Request Under 35 U.S.C. 122(b)

6. ☒ Application Data Sheet (2 pages)

15. ☐ CD in duplicate for large table or computer program

7. ☐ Nucleotide and/or Amino Acid Sequence Submission
   ☐ Computer Readable Form (CRF)
   ☐ Paper Copy (identical to computer copy)
   ☐ CD (2 copies) (identical to computer copy)
   ☐ Statement verifying identity of above copies

16. ☐ Other:

17. ☐ **If a CONTINUING APPLICATION:** Amend the specification by inserting on page 1, before the first line, the sentence:
--This is a
☐ continuation   ☐ divisional   ☐ continuation-in-part of prior application Serial No.   /   , filed on , , the entire disclosure of which is incorporated by reference herein.--
   Priority to the above application(s) is claimed under 35 U.S.C. 120.
   Prior application information: Examiner. _____. Group/Art Unit: _____.
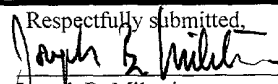
18. ☒ **Priority - 35 U.S.C. 119**
   ☒ Priority of application Serial No. 60/278,131 filed on March 23, 2001 in USA is claimed under 35 U.S.C. 119.
       ☐ The certified copy has been filed in prior U.S. application Serial No. _____/_____ on _____.
       ☐ The certified copy will follow.

CORRESPONDENCE ADDRESS	**SIGNATURE BLOCK**
Direct all correspondence to: Patent Administrator Testa, Hurwitz & Thibeault, LLP High Street Tower 125 High Street Boston, MA 02110 Tel. No.: (617) 248-7000 Fax No.: (617) 248-7100 Customer No. 021323	Date: January 4, 2002 Reg. No. 42,897 Tel. No.: (617) 248-7695 Fax No.: (617) 248-7100	Respectfully submitted, Joseph B. Milstein Attorney for Applicant(s) Testa, Hurwitz & Thibeault, LLP High Street Tower 125 High Street Boston, MA 02110

VER 10/01

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FEE TRANSMITTAL
FY 2002

Complete if Known	
Application Serial Number	
Filing Date	January 4, 2002
First Named Inventor	Chen et al.
Group Art Unit	
Examiner Name	
Attorney Docket No.	MIT-132 (5473/145)

METHOD OF PAYMENT

1. ☒ Payment Enclosed:
   ☒ Check ☐ Money Order ☐ Other

2. ☒ The Commissioner is hereby authorized to credit or charge any fee indicated below for this submission to Deposit Account No. 20-0531.
   ☐ Required Fees (copy of this sheet enclosed).
   ☐ Additional fee required under 37 CFR 1.16 and 1 17
   ☒ Overpayment Credit.

3. ☐ Applicant claims small entity status.

FEE CALCULATION

1. FILING FEE

Large Entity

Fee ($)	Fee Description	Fee Paid
740	Utility filing fee	740.
330	Design filing fee	
160	Provisional filing fee	

	Number Filed	Number Extra	Rate	Amount
Total Claims	12	- 20 = 0	x $ 18.00 =	
Independent Claims	8	- 3 = 5	x $ 84.00 =	420.

☐ Multiple Dependent Claim(s), if any $280.00 =

	TOTAL·	1160.
SMALL ENTITY DISCOUNT:		
SUBTOTAL (1)	($)	1160

2. AMENDMENT CLAIM FEES

	Claims Remaining After Amend	Highest No. Previously Paid For	Present Extra	Rate	Fee Paid
Total	-	=		x $ 18.00 =	
Indep.	-	=		x $ 84.00 =	
☐ First Presentation of Multiple Dep. Claim				+ $280.00 =	

TOTAL:	($)
SMALL ENTITY DISCOUNT:	($)
SUBTOTAL (2)	($)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee ($)	Small Entity Fee ($)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	Request for ex parte reexamination	
110	55	Extension for reply within first month	
400	200	Extension for reply within second month	
920	460	Extension for reply within third month	
1440	720	Extension for reply within fourth month	
1960	980	Extension for reply within fifth month	
320	160	Notice of Appeal	
320	160	Filing a brief in support of an appeal	
280	140	Request for oral hearing	
130	130	Petitions to the Commissioner	
180	180	Submission of Information Disclosure Statement	
740	370	Filing a submission after final rejection (37 CFR 1.129(a))	
740	370	For each additional invention to be examined (37 CFR 1.129(b))	
100	100	Certificate of Correction for applicant's error	

Other fee (Specify) _____
Other fee (Specify) _____

SUBTOTAL (3)	($)

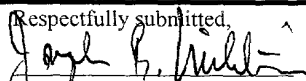|	
SUBTOTAL (1)	1160
SUBTOTAL (2)	
SUBTOTAL (3)	
TOTAL ($)	1160

CORRESPONDENCE ADDRESS

Direct all correspondence to:

Patent Administrator
Testa, Hurwitz & Thibeault, LLP
High Street Tower-125 High Street
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Fax No.: (617) 248-7100

SIGNATURE BLOCK

Date· January 4, 2002
Reg. No.· 42,897
Tel. No.: 617-245-7695
Fax No.: (617) 248-7100

Respectfully submitted,

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